



# UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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Page 1 of 2

(B)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/774,879	02/01/2001	Russell A. Rogers	PM 276778

O I P E  
FEB 04 2002  
SCITT  
PATENT & TRADEMARK OFFICE  
PILLSBURY WINTHROP LLP  
Intellectual Property Group  
Ninth Floor  
1100 New York Avenue, NW.  
Washington, DC 20005-3918

CONFIRMATION NO. 3167

## FORMALITIES LETTER



\*OC00000006382420\*

Date Mailed: 08/03/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

02/06/2002 SDIRETA1 00000041 09774879

01 FC:201                    370.00 OP  
02 FC:205                    65.00 OP

FILED UNDER 37 CFR 1.53(b)

### *Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 420.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

A handwritten signature, appearing to be "J. L.", is written above a horizontal line.

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Customer Service Center  
Initial Patent Examination Division (703) 308-1202  
PART 2 - COPY TO BE RETURNED WITH RESPONSE

Sector 3  
PATENT APPLICATION

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)  
For Design, Provisional, or Utility Applications**COMPLETION Under  
Rule 53(f)**In re **PATENT APPLICATION** of  
Inventor(s): Russell A. ROGERS

Appn. No.: 09

Series Code ↑

774,879

Serial No. ↑

Atty.Dkt.

P

276778

M#

Client Ref

Filed: February 1, 2001

Title: PERSONALIZATION ENGINE FOR RULES AND KNOWLEDGE

Attn: Application Division

Hon. Commissioner of Patents  
Washington, DC 20231

Date: February 4, 2002

Sir:  
The following **completes the filing** under **Rule 53(f)** of the above-identified patent application:

1. **Notice to File Missing Parts**  copy attached  not yet received
2.  Signed Declaration attached.  Original  Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and  
"X" box 2A only if top box of the Declaration is X'd and file application copy, or  
"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A.  Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B.  The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3.  Specification originally filed in non-English language; hence verified translation attached of:
  - a.  Abstract
  - b. #  pages of Specification(only spec. & claims)
  - c.  Drawing(s)

No of Sheets	176/1002 SP1002 00000041 09774679
<input type="checkbox"/> Fig(s).	14 PC:218 720.00 UP
4.  Letter filing formal drawing attached.
5.  Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 60/179,573	01 February 2000	(2)	
(3)		(4)	
(5)		(6)	

7. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in \_\_\_\_\_

8.

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

9. \_\_\_\_\_ (No.) Certified copy (copies):  attached;  previously filed (date) \_\_\_\_\_  
in U.S. Application No. / filed on \_\_\_\_\_

10. Small Entity Status   is Not claimed  is claimed (file PAT-256 if this is the first claim of  
Small Entity Status)

11.  Attached:

12.  Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity	Fee Code
13. Basic Filing Fee .....		Design Application Not Design Application	\$330/\$165 \$740/\$370	+370	106/26 101/201
14. Total Effective Claims	10	minus 20 = 0	x \$18/\$9	+0	103/203
15. Independent Claims	3	minus 3 = 0	x \$84/\$42	+0	102/202
16. If any proper multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)			\$280/\$140	+0	104/204
17. Surcharge for filing Declaration/filing fee late			\$130/\$65	+65	105/205
18.			FILING FEE ENCLOSED =	\$435	
19. Original due date:	October 3, 2001				
20. Petition is hereby made to extend the original due date to cover the date this response is filed for which the requisite fee is attached	(1 mo) (2mos) (3mos) (4mos)	\$110/\$55 = \$400/\$200 = \$920/\$460 = \$1,440/\$720 =	+720	115/215 116/216 117/217 118/218	
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee .....		\$130	+0	139	
22. If "assignment" box 5 is X'd, add recording fee. ....		\$40	+40	581	
23. Petition Fee for		\$130	+0		
24.		TOTAL FEE ENCLOSED =	\$1195		

Our Deposit Account No. 03-3975

Our Order No. 201634

276778

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

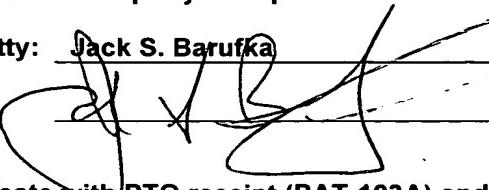
Pillsbury Winthrop LLP  
Intellectual Property Group

1600 Tysons Boulevard  
McLean, VA 22102  
Tel: (703) 905-2000

Atty/Sec: JSB/rsp

By Atty: Jack S. Barufka

Reg. No. 37087

Sig: 

Fax: (703) 905-2500  
Tel: (703) 905-2012

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**